



2697/03

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	09/427,815
		Filing Date	October 27, 1999
		First Named Inventor	David P. Rossum
		Group Art Unit	2697
		Examiner Name	Graham, Andrew R.
Total Number of Pages in This Submission	8	Attorney Docket Number	6407P134

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### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
		<div style="border: 1px solid black; padding: 5px; min-height: 40px;">           31 references cited on PTO/SB/08 and Postcard.         </div>
<div style="border: 1px solid black; padding: 5px; min-height: 40px;">           Remarks         </div>		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	André L. Marais, Reg. No. 48,095 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	05/28/03

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Sarah M. Montgomery		
Signature		Date	May 28, 2003

Based on PTO/SB/21 (05-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wlr) 05/02/2003.  
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# FEET TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** (\$ 180.00)

Complete if Known

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## METHOD OF PAYMENT (check one)

Check  Credit card  Money Order  Other  None  
 Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	750	2001	375	Utility filing fee
1002	330	2002	165	Design filing fee
1003	520	2003	260	Plant filing fee
1004	750	2004	375	Reissue filing fee
1005	160	2005	80	Provisional filing fee
SUBTOTAL (1)		(\$)		

### 2. EXTRA CLAIM FEES

Total Claims		Extra Claims	Fee from below	Fee Paid
Independent Claims		20**	=	
Multiple Dependent		3	=	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple Dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$)		

\*\*or number previously paid, if greater. For Reissues, see below

## 3. ADDITIONAL FEES

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath			
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet			
2053	130	2053	130	Non-English specification			
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination			
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action			
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action			
1251	110	2251	55	Extension for reply within first month			
1252	410	2252	205	Extension for reply within second month			
1253	930	2253	465	Extension for reply within third month			
1254	1,450	2254	725	Extension for reply within fourth month			
1255	1,970	2255	985	Extension for reply within fifth month			
1404	320	2401	160	Notice of Appeal			
1402	320	2402	160	Filing a brief in support of an appeal			
1403	280	2403	140	Request for oral hearing			
1451	1,510	2451	1,510	Petition to institute a public use proceeding			
1452	110	2452	55	Petition to revive - unavoidable			
1453	1,300	2453	650	Petition to revive - unintentional			
1501	1,300	2501	650	Utility issue fee (or reissue)			
1502	470	2502	235	Design issue fee			
1503	630	2503	315	Plant issue fee			
1460	130	2460	130	Petitions to the Commissioner			
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)			
1806	180	1806	180	Submission of Information Disclosure Stmt			
8021	40	8021	40	Recording each patent assignment per property (times number of properties)			180.00
1809	750	1809	375	Filing a submission after final rejection (37 CFR § 1.129(a))			
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))			
1801	750	2801	375	Request for Continued Examination (RCE)			
1802	900	1802	900	Request for expedited examination of a design application			
Other fee (specify)		(\$)					

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 180.00)

## SUBMITTED BY

Name (Print/Type)	André L. Marais	Registration No. (Attorney/Agent)	48,095	Telephone	(408) 947-8200
Signature		Date	05/26/03		

Based on PTO/SB/17 (01-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wtr) 05/02/2003.  
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



Docket No.: 6407P134

7  
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6/6/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

DAVID P. ROSSUM

Application No.: 09/427,815

Filed: October 27, 1999

For: **Sample Rate Converter Having Distributed Filtering**

Art Group: 2697

Examiner: Graham, Andrew R.

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**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

06/04/2003 MBELETE1 00000012 09427815

01 FC:1806

180.00 OP

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

The fee set in the amount of \$180.00 for submission of the Information Disclosure Statement is enclosed herewith. Please charge any additional fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 05/28/03

  
\_\_\_\_\_  
André L. Marais, Reg. No. 48,095

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(408) 947-8200

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Sarah M. Montgomery 5/28/03  
\_\_\_\_\_  
Date



**Substitute for form 1449A/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

**(use as many sheets as necessary)**

## Sheet

1

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<i>Complete if Known</i>	
Application Number	09/427,815
Filing Date	October 27, 1999
First Named Inventor	David P. Rossum
Art Unit	2697
Examiner Name	Graham, Andrew R.
Attorney Docket Number	6407P134

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet

2

of

4

**Complete if Known**

Application Number	09/427,815
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Attorney Docket Number	6407P134

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**OTHER ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		UDO ZÖLZER, "Digital Audio Signal Processing", JOHN WILEY & SONS, Chapter 8, pg. 221-247, England.	
		JOÃO M. DE CARVALHO and JOHN V. HANSON, "EFFICIENT SAMPLING RATE CONVERSION WITH CUBIC SPLINES", pgs. 19.5.1-19.5.4.	
		DAVE ROSSUM, "CONSTRAINT BASED AUDIO INTERPOLATORS", IEEE Workshop on Applications of Signal Processing to Audio and Acoustics, New Paltz, NY, 1993, 4 pages.	
		HAL CHAMBERLIN, "MUSICAL APPLICATIONS OF MICROPROCESSORS", Hayden Book Company, pg 515-525.	
		VAIDYANATHAN, "Multirate Systems and Filter Banks", pp 196-217, Chap. 5, "Maximally decimated filter banks".	
		TOR A. RAMSTAD, "Digital Two-Rate IIR and Hybrid IIR/FIR Filters for Sampling Rate Conversion", IEEE Transactions on Communications, Vol. COM-30, No. 7, pp. 1466-1476, July 1982.	
		G.T.H. WRIGHT and F.J. OWENS, "Optimum Design of a FIR Interpolating Filter for Converting Between Incommensurate Sampling Frequencies", Applied Signal Processing, 1994, 4 pages.	

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 3 of 4

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		Y. MEDAN and U. SHVADRON, "ASYNCHRONOUS RATE CONVERSION", 1997 IEEE, pgs. 107-112.	
		JULIUS O. SMITH and PHIL GOSSETT, "A Flexible Sampling-Rate Conversion Method", Processing of ICCASP, 1984, Palo Alto, California, pp. 19.4.1-19.4.4.	
		TOR A. RAMSTAD, "SAMPLE-RATE CONVERSION BY ARBITRARY RATIOS", ICASSP, 1982, Norway, pgs. 101-104.	
		TOR A. RAMSTAD, "Digital Methods for Conversion Between Arbitrary Sampling Frequencies", IEEE TRANSACTIONS OF ACOUSTICS, SPEECH, AND SIGNAL PROCESSING , VOL. ASSP-32, NO. 3, JUNE 1984, pgs. 577-591.	
		TAPIO SARAMÄKI and TAPANI RITONIEMI, "AN EFFICIENT APPROACH FOR CONVERSION BETWEEN ARBITRARY SAMPLING FREQUENCIES", 1996 IEEE, pp. 285-288.	
		TAPIO SARAMÄKI and YRJÖ NEUVO, "EQUAL RIPPLE AMPLITUDE AND GROUP DELAY DIGITAL FILTERS FOR SAMPLING RATE ALTERATION", 1980 IEEE, pgs. 597-600.	
		TAPIO SARAMÄKI, "EFFICIENT RECURSIVE DIGITAL FILTERS FOR SAMPLING RATE CONVERSION", 1983 IEEE, Finland, pgs. 1322-1326.	

Examiner Signature	Date Considered
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet

4

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4

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		N. S. VASANTHAVADA, "A Note on the Computational Efficiency of the FIR Multistage Implementations of Fractional Sampling Rate Conversion", IEEE TRANSACTIONS ON ACOUSTICS, SPEECH, AND SIGNAL PROCESSING, VOL. ASSP-33, NO. 2, APRIL 1985, pg. 475 and 477.	
		HÅKAN JOHANSSON AND LARS WANHAMMER, "TWO-STAGE POLYPHASE INTERPOLATORS AND DECIMATORS FOR SAMPLE RATE CONVERSIONS WITH PRIME NUMBERS", ref TBD, pgs. 1207-1210.	
		A. TARCZYNSKI, W. KOZINSKI and G. D. CAIN, " SAMPLING RATE CONVERSION USING FRACTIONAL-SAMPLE DELAY", 1994 IEEE, pgs. III-285-III-288.	
		J. JANSSEN, D. THERSSEN, ET AL., "A New Principle/IC for Audio Sampling Rate Conversion", 96th Convention Audio Engineering Society, 1994, 15 pages.	
		J.O. SMITH, "Adaptive Interpolated Time-Delay Estimation", pgs. 5-11.	
		TIMO I. LAAKSO, VESA VÄLIMÄKI, MATTI KARJALAINEN, and UNTO K. LAINE, "DIGITAL FILTER APPROXIMATION OF FRACTIONAL DELAY-A TUTORIAL REVIEW", IEEE Trans. on Speech and Audio Processing, March 18, 1993, pgs. 1-41 odd.	
		VESA VÄLIMÄKI, TIMO I. LAAKSO and JOHNATHAN MACKENZIE, "ELIMINATION OF TRANSIENTS IN TIME-VARYING ALLPASS FRACTIONAL DELAY FILTERS WITH APPLICATION TO DIGITAL WAVEGUIDE MODELING", pgs. 1-8, 43-57 odd	

Examiner Signature		Date Considered
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